

Form PTO-1449  <b>INFORMATION DISCLOSURE LIST</b>	Atty. Docket No.: 0899  Applicants: James Weifu Lee, et al.  Filing Date	Title: Catalyst-Induced Growth of Carbon Nanotubes on Tips of Cantilevers and Nanowires  Serial No. Group
---	--	---

JC997 U.S. PTO  
 09/873928  
 06/04/01

## U. S. Patent Document

*Examiner Initial	Doc. No.	Date	Name	Class	Subclass	Filing Date (if appropriate)
	(None)					

## OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

- WL 1. Merkulov, V. I., D. H. Lowndes, Y. Y. Wei, G. Eres, and E. Voelkl (2000) "Patterned growth of individual and multiple vertically-aligned carbon nanotubes," *Appl. Phys. Lett.* **76**, 3555.
- WL 2. Dai, H., J. H. Hafner, A. G. Rinzler, D. T. Colbert, and R. E. Smalley, *Nature* **384**, 147 (1996).
- WL 3. Nishijima, H., S. Kamo, Seiji Akita, Y. Nakayama, K. I. Hohmura, S. H. Yoshimura, and K. Takeyasu, (1999) *Appl. Phys. Lett.* **74**, 4061.
- WL 4. Hafner, J. H., C. Li Cheung, and C. M. Lieber (1999) *Nature* **398**, 761.
- WL 5. Ren, Z. F., Z. P. Huang, J. W. Xu, J. H. Wang, P. Bush, M. P. Siegal, and P. N. Provencio (1998) *Science* **282**, 1105.
- WL 6. Baker, R. T. K. (1989) *Carbon* **27**, 315.
- WL 7. Chen, Y., D. T. Shaw, and L. Guo (2000) *Appl. Phys. Lett.* **76**, 2469.
- 8. Poncharal, P., Z. L. Wang, D. Ugarte, and W. A. de Heer (1999) "Electrostatic deflections and electromechanical resonances of carbon nanotubes," *Science* **283**:1512-1516.

EXAMINER <u>William Leader</u>	DATE CONSIDERED <u>11/2003</u>
*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	



+

Approved for use through 10/31/99. OMB 0651-0031

Trademark Office: U.S. DEPARTMENT OF COMMERCE

Information unless it contains a valid OMB control number.

S U P P L E M E N T A L

## STATEMENT BY APPLICANT

*(use as many sheets as necessary)*

Sheet	1	of	1
-------	---	----	---

**Complete if Known**

Application Number	09/873,928
--------------------	------------

Filing Date	06/04/2001
-------------	------------

First Named Inventor	James Weifu Lee
----------------------	-----------------

### Group Art Unit

Examiner Name

Attorney Docket Number	0899
------------------------	------

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

[illegible]

**Examiner  
Signature**

William Leader

Date \_\_\_\_\_

**Considered**

11/2003

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

**Burden Hour Statement:** This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:** Assistant Commissioner for Patents, Washington, DC 20231.



Please type a plus sign (+) inside this box → ☐

PTO/SB/08B (10-96)

Approved for use through 10/31/99. OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449B/PTO

# SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet

2

of

2

## Complete if Known

Application Number	09/873,928
Filing Date	06/04/2001
First Named Inventor	James W. Lee
Group Art Unit	1741
Examiner Name	
Attorney Docket Number	0899

## OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
WL	2	F.G.TARNTAIR ET AL, "High Current Density Field Emission from Arrays of Carbon Nanotubes & Diamond-Clad Si Tips," J. Vac.Sci.Technol.B, Vol. 18 ( No. 3).	
WL	3	CHRIS BOWER ET AL, "Nucleation & Growth of Carbon Nanotubes by Microwave Plasma Chemical Vapor Deposition," Applied Physics Ltrs., Vol. 77 ( No. 17). ( October 23, 2000).	
WL	4	Z. F. REN ET AL, "Large Arrays of Well-Aligned Carbon Nanotubes,"	
WL	5	SUK JAE CHUNG ET AL, "Novel Plasma Chemical Vapor Deposition Method of Carbon Nanotubes at Low Temperature for Field Emission Display Application," Diamond & Related Materials 10 (2001) , p. 248-253.	
WL	6	H. CUI ET AL, "Aligned Carbon Nanotubes via Microwave Plasma Enhanced Chemical Vapor Deposition," Mat.Res.Soc.Symp.Proc.,	
WL	7	Y,C.CHOI ET AL, "Controlling the Diameter, Growth Rate and Density of Vertically Aligned Carbon Nanotubes Synthesized by Microwave Plasma-Enhanced Chemical Vapor Deposition," Appl. Physics Ltrs., Vol. 76 ( No. 17), p. 2367-69. ( April 24, 2000).	
WL	8	H. CUI ET AL, "Deposition of Aligned Bamboo-Like Carbon Nanotubes via Microwave Plasma Enhanced Chemical Vapor Deposition," Jl. of Applied Physics, Vol. 88 ( No. 10), p. 6072-6074, ( November 15, 2000).	

Examiner  
Signature

William Leader

Date

Considered

11/2003

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.